



Environmental Management Consolidated Business Center (EMCBC)

Subject: RECORDS MANAGEMENT POLICY

Policies, Procedures
and Plans

APPROVED: (Signature on File)
EMCBC Director

1.0 POLICY

The purpose of the Environmental Management Consolidated Business Center (EMCBC) Records Management Policy is to promote the consistent and cost-effective management of its records throughout their life cycle; that is, throughout each record's creation, use/maintenance, and disposition. This policy is fully endorsed by the EMCBC Director and Assistant Directors.

2.0 SCOPE

The intent of this policy is to provide the framework for specific guidance and detailed implementing procedures governing records management organization and implementation. This policy has a two-fold purpose. First, it is intended to assist EMCBC employees in complying with Federal and DOE requirements governing the creation and maintenance of records. Second, future procedures implementing this policy will promote best practices that provide for the efficient, economical, and effective controls over all EMCBC records through a comprehensive system of integrated procedures for true life-cycle management of records from their creation to their ultimate disposition.

3.0 APPLICABILITY

This policy applies to all employees and support service contractors at the EMCBC and may be adopted by Service Level Agreement (SLA) sites, at their discretion.

4.0 REQUIREMENTS AND REFERENCES

▼ Note: A full list of Records Management requirements and references can be reviewed in the U.S. Department of Energy, Office of Chief Information Officer, "Records Management Handbook", dated September 2006.

5.0 DEFINITIONS

▼ Note: A full list of definitions can be reviewed in the U.S. Department of Energy, Office of Chief Information Officer, "Records Management Handbook", dated September 2006.

6.0 RESPONSIBILITIES

The following requirements shall be met:

- The EMCBC Director shall appoint a Records Management Field Officer (RMFO) to implement the EMCBC Records Management Program, act as liaison with the DOE Headquarters Program Records Official (PRO) and to provide oversight and guidance to the EMCBC, Service Level Agreement (SLA) sites, and SLA site contractor Records Management Programs.
- The Assistant Directors shall appoint a Records Custodian to coordinate records management activities within their respective organizational unit, and ensure compliance with the EMCBC Records Management Program.
- The Assistant Director, Office of Contracts, shall ensure that all applicable records requirements, including Contractor Requirement Documents (CRD) embedded in DOE Orders, are incorporated into affected contracts.
- The Assistant Director, Office of Information Resource Management, shall ensure that DOE Records Management Program provisions and standards are included in the scope and planning for all electronic information systems utilized by the EMCBC.
- The Office of Logistics Management shall establish, implement and sustain a Records Management Program to ensure adequate and proper documentation in accordance with applicable federal laws and regulations, DOE policies, and best practices for managing records.
- The Office of Logistics Management shall develop and implement an EMCBC Vital Records Program that identifies vital records, preserves those records for use in the event of a continuity of operations or catastrophic event, and includes a records disaster recovery plan.
- All EMCBC organizational units shall:
 - Retain active records that are required for the EMCBC mission in designated and secure records storage locations.
 - Ensure vital records within each organizational unit are identified. Such records are Legal and Financial Rights Records and Emergency Operating Records. Specific collections of vital records shall be listed on the EMCBC Vital Records Inventory, which will be included in the Continuity of Operations Plan (COOP).

- Develop and maintain a File Plan in accordance with the EMCBC File Plan template. The File Plan describes all categories of records, Uniform File Code, current location, record holder, disposition authority, retention period, and cut-off date for all records that are created, received, and maintained by personnel in the course of their official duties.
- File records in accordance with the EMCBC Uniform File Code (UFC), which provides a uniform system for filing records, consistent with DOE Record Control Schedules.
- Ensure sensitive, classified, or confidential records are managed and protected in accordance with NARA and DOE requirements, including requirements imposed by DOE Safeguards and Security Programs, and limit access to ensure information is not released to unauthorized individuals.
- Annually review the organizational unit records to identify those record series that can be archived, or have met their required retention and can be destroyed, with appropriate concurrences.

7.0 GENERAL INFORMATION

At a minimum, implementing procedures covering the below life-cycle record stages will be issued:

- Vital Records
- Electronic Records Management
- Identification of Records, and File Plan Creation and Use
- Transfer of Inactive Records to Storage
- Disposition of Records (e.g., via destruction, transfer to FRC, accession to National Archives)